

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Wilhelm Janssen, et al.

Title: METHOD FOR OPERATING A FREQUENCY CONVERTER OF A GENERATOR

Serial No.: 10/571,735

Art Unit: 2838

Filing Date: 12-07-2006

Examiner: n/a

Docket No.: 46WD 133334

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Patent Amendments

Commissioner for Patents

PO Box 1450

Alexandria, VA 22313-1450

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98.

**REFERENCES**

[ X ] 1. A list of documents on Form PTO-1449 or Substitute together with copies of each identified document (other than U.S. patents and U.S. patent application publications unless required by the Office) and a translation thereof or a concise explanation of each non-English language document or a Search Report or communication from a non-US patent office or an International Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application. A copy of the Chinese Office Action citing the document is attached.

**RELATED CASES**

[ ] 2. Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 published in the Official Gazette Notice of October 19, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.

This paper is submitted in accordance with:

[ X ] 3. 37 CFR 1.97(b): [within three months of national, non-CPA filing, prior to first Office Action, on the merits, or prior to first office action after filing an RCE]

[ ] 4. 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and

[ ] a. The required Certification made in item 6 below; or

[ ] b. The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

☐ 5. 37 CFR 1.97(d): [on or before issue fee payment]; and

- a) The required Certification is stated in item 6 below; and
- b) The \$180.00 fee specified in 37 C.F.R. 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

☐ 6. Certification

- ☐ a. Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ b. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.

☒ 7. Payment of all applicable fees:

- ☒ Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 090470.

Respectfully submitted,

/Philip J. Hoffmann/  
Philip J. Hoffmann  
Reg. No. 46,340  
Patent Counsel

Address: GE Global Patent Operation  
Suite 204  
187 Danbury Road  
Wilton, CT 06897-4122

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 11

of 1

**Complete if Known**

Application Number	10/571,735
Filing Date	12-07-2006
First Named Inventor	Janssen, Wilhelm et al.
Art Unit	2838
Examiner Name	n/a
Attorney Docket Number	(46WD) 133334

## U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

## Patent Office of the People's Republic of China

Address : Receiving Section of the Chinese Patent Office, No. 6 Tucheng Road West, Haidian District, Beijing, Postal code: 100088

<b>Applicant</b>	GENERAL ELECTRIC COMPANY			<b>Seal of Examiner</b>	<b>Date of Issue</b>
<b>Agent</b>	China Patent Agent (H.K.) Ltd.			A337	May 25, 2007
<b>Patent Application No.</b>	03827194.X	<b>Application Date</b>	September 16, 2003	<b>Exam Dept.</b>	A
<b>Title of Invention</b>	METHOD FOR OPERATING A FREQUENCY CONVERTER OF A GENERATOR				

*First Office Action*

(PCT application entering into the national phase)

1. ☒ Under the provision of Art. 35, para. 1 of the Patent Law, the examiner has made an examination as to substance of the captioned patent application for invention upon the request for substantive examination filed by the applicant.
- ☐ Under the provision of Art. 35, para. 2 of the Patent Law, the Chinese Patent Office has decided to conduct an examination of the captioned patent application for invention on its own initiative.
2. ☐ The applicant requests that  
the filing date \_\_\_\_\_ at the \_\_\_\_\_ Patent Office be taken as the priority date of the present application,  
the filing date \_\_\_\_\_ at the \_\_\_\_\_ Patent Office be taken as the priority date of the present application,  
the filing date \_\_\_\_\_ at the \_\_\_\_\_ Patent Office be taken as the priority date of the present application.
3. ☐ The following amended documents submitted by the applicant cannot be accepted for failure to conform with Art. 33 of the Patent Law:  
☐ the Chinese version of the annex to the international preliminary examination report.  
☐ the Chinese version of the amended documents submitted according to the provision of Art. 19 of the Patent Cooperation Treaty.  
☐ the amended documents submitted according to the provision of Art. 28 or Art. 41 of the Patent Cooperation Treaty.

☐ the amended documents submitted according to the provision of Rule 51 of the Implementing Regulations of the Patent Law.

See the text portion of this Office Action for detailed reasons why the amendment cannot be accepted.

4. ☐ Examination is conducted on the Chinese version of the initially-submitted international application.

☒ Examination is conducted on the following document(s):

☒ pages 1-6 of the description, based on the Chinese version of the initially-submitted international application documents;

page \_\_\_\_\_ of the description, based on the Chinese version of the annex to the international preliminary examination report;

page \_\_\_\_\_ of the description, based on the amended documents submitted according to the provision of Art. 28 or Art. 41 of the Patent Cooperation Treaty;

page \_\_\_\_\_ of the description, based on the amended documents submitted according to the provision of Rule 51 of the Implementing Regulations of the Patent Law.

☒ claim(s) \_\_\_\_\_, based on the Chinese version of the initially-submitted international application documents;

claim(s) \_\_\_\_\_, based on the Chinese version of the amended documents submitted according to the provision of Art. 19 of the Patent Cooperation Treaty;

claim(s) 1-6, based on the Chinese version of the annex to the international preliminary examination report on patentability;

claim(s) \_\_\_\_\_, based on the amended documents submitted according to the provision of Art. 28 or Art. 41 of the Patent Cooperation Treaty;

claim(s) \_\_\_\_\_, based on the amended documents submitted according to the provision of Rule 51 of the Implementing Regulations of the Patent Law.

☒ Fig(s) 1, based on the Chinese version of the initially-submitted international application documents;

Fig(s) \_\_\_\_\_, based on the Chinese version of the annex to the international preliminary examination report;

Fig(s) \_\_\_\_\_, based on the amended documents submitted according to the provision of Art. 28 or Art. 41 of the Patent Cooperation Treaty;

Fig(s) \_\_\_\_\_, based on the amended documents submitted according to the provision of Rule 51 of the Implementing Regulations of the Patent Law.

5. ☒ The following reference document(s) is/are cited in this Office Action (its/their serial

number(s) will continue to be used in the subsequent course of examination):

Serial No.	Number or Title(s) of Document(s)	Date of Publication (or filing date of interfering application)
1	US5798631A	August 25, 1998
2		
3		
4		

6. Concluding comments on the examination:

☒ On the description:

- ☐ What is stated in the application comes within the scope of that no patent right shall be granted as prescribed in Art. 5 of the Patent Law.
- ☐ The description is not in conformity with the provision of Art. 26, para. 3 of the Patent Law.
- ☐ The description is not in conformity with the provision of Art. 33 of the Patent Law.
- ☒ The drafting of description is not in conformity with the provision of Rule 18 of the Implementing Regulations.

☒ On the claims:

- ☐ Claim(s) \_\_\_\_\_ come(s) within the scope of that no patent right shall be granted as prescribed in Art. 25 of the Patent Law.
- ☐ Claim(s) \_\_\_\_\_ has/have no novelty as prescribed in Art. 22, para. 2 of the Patent Law.
- ☒ Claim(s) 1, 5 has/have no inventiveness as prescribed in Art. 22, para. 3 of the Patent Law.
- ☐ Claim(s) \_\_\_\_\_ has/have no practical applicability as prescribed in Art. 22, para. 4 of the Patent Law.
- ☐ Claim(s) \_\_\_\_\_ is/are not in conformity with the provision of Art. 26, para. 4 of the Patent Law.
- ☐ Claim(s) \_\_\_\_\_ is/are not in conformity with the provision of Art. 31, para. 1 of the Patent Law.
- ☒ Claim(s) 1-6 is/are not in conformity with the provisions of Rule 20 of the Implementing Regulations.
- ☒ Claim(s) 6 is/are not in conformity with the provision of Rule 23 of the Implementing Regulations.

See the text portion of this Office Action for detailed analysis of the above

concluding comments.

7. Based on the above concluding comments, the examiner deems that

- ☐ the applicant should make amendment to the application document(s) according to the requirements put forward in the text portion of this Office Action.
- ☒ the applicant should expound in his/its observations why the captioned patent application is patentable and make amendment to what is not in conformity with the provisions pointed out in the text portion of this Office Action, otherwise, no patent right shall be granted.
- ☐ the patent application contains no substantive content(s) for which a patent right may be granted, if the applicant has no sufficient reason(s) to state or his/its stated reason(s) is/are not sufficient, said application will be rejected.
- ☐

8. The applicant should note the following items:

- (1) Under Art. 37 of the Patent Law, the applicant should submit his/its observations within four months from the date of receipt of this Office Action; if, without any justified reason(s), the time limit for making written response is not met, said application shall be deemed to have been withdrawn.
- (2) The amendment made by the applicant to said application should be in conformity with the provision of Art. 33 of the Patent Law, the amended text should be in duplicate and its form should conform with the related provisions of the Guide to Examination.
- (3) If no arrangement is made in advance, the applicant and/or the agent shall not come to the Chinese Patent Office to have an interview with the examiner.
- (4) The observations and/or amended text should be sent to the Receiving Section of the Chinese Patent Office by mail or by personal delivery, if not sent to the Receiving Section by mail or by personal delivery, the document(s) will have no legal effect.

9. This Office Action consists of the text portion totaling 3 page(s) and of the following attachment(s):

- ☒ 1 copy(copies) of the reference document(s) totaling 25 page(s).

Examination Dept. No. A

Examiner Li Xiaoyan